

CHAPTER 3

SAFETY AND HEALTH INFORMATION MANAGEMENT

3.1 PURPOSE

The purpose of Safety and Health Information Management is to collect and analyze accident data in order to prevent and/or reduce accidents.

3.2 DEFINITIONS

The definitions listed below are used in Safety and Health Information Management:

- 3.2.1 Accident Unit. The program unit closest to the accident site.
- 3.2.2 Unit Head. Regional area and work unit directors, administrative management directors, branch chiefs (or equivalent), and section heads.
- 3.2.3 Occupational Injury. A traumatic wound or other condition of the body caused by external force, including stress or strain. The injury should be identifiable as to the time and place of occurrence and member or function of the body affected. The injury must be caused by a specific event/incident or series of events/incidents within a single day or work shift.
- 3.2.4 Occupational Illness/Disease. A non-traumatic physiological harm or loss of capacity produced by systemic infection; continued or repeated stress or strain; exposure to toxins, poisons, fumes, etc.; or continued and repeated exposures to hazardous conditions of the work environment over a long period of time (at least 2 days). An occupational illness/disease is any reported condition which does not meet the definition of injury.
- 3.2.5 Motor Vehicle Accidents. Any occurrence involving a federally owned, leased, or rented vehicle (including automobiles, trucks, buses, and motorcycles, or a privately owned vehicle used for official Government business) which results in injury, illness, death, and/or property damage. The occurrence is an accident regardless of who is injured or what property is damaged. Damage which occurs as a result of natural catastrophes or damage to properly parked vehicles is not considered an accident.

NOTE: "Properly parked" means that the driver took all the cautionary steps to park a vehicle, such as using a designated parking space, and engaging the parking brake fully.
- 3.2.6 Property Damage. Any event which either results in or permits accidental damage of APHIS property or equipment.
- 3.2.7 Private Property Damage. Physical damage to private property such as buildings, equipment, crops or livestock; damage to or contamination of property from pesticide and/or chemical spills.

- 3.2.8 Pesticide-Related Incidents. All illnesses and injuries caused by pesticides including pesticide spills.
- 3.2.9 Aircraft Accident. An event involving aircraft while in flight or when there is an intent to fly which results in damage to the aircraft and/or a fatal or serious injury.
- 3.2.10 Aircraft Ground Accident. An occurrence involving aircraft where there is no intention to fly; however, damage to property and/or injury to personnel results from fueling, loading, maintenance, and ground handling accidents.
- 3.2.11 Aircraft Incident. Aircraft incidents may include mechanical failure of aircraft components, fuel mismanagement by the pilot causing a forced or precautionary landing, damage caused by gunfire, or any other than ordinary event of significance.
- 3.2.12 Lost Workday. All the workdays the employee would have worked, but could not, because of the occupational injury, illness, or accident; was assigned to a temporary job; or worked at a permanently assigned job, but could not perform all the duties assigned. Days need not be consecutive and exclude the day of injury or the first day of illness.
- 3.2.13 First-Aid Treatment for Injury or Illness. One-time treatment and subsequent observation of minor scratches, cuts, burns, splinters, etc. First-aid cases do not ordinarily require medical treatment, although it may be provided by a physician or registered professional personnel.
- 3.2.14 Medical Treatment for Injury or Illness. Treatment administered by a physician or by registered professional personnel. Medical treatment does not include that treatment defined as first aid.
- 3.2.15 Hospitalization. Eight (8) or more continuous hours in a hospital.
- 3.2.16 Fatality. A death from injury or illness regardless of the time between the injury and death or the length of the related illness.

3.3 RESPONSIBILITIES

- 3.3.1 Employees' Responsibilities. Employees will inform their immediate supervisor or next higher official of all accidents, injuries, illnesses, or property damage incidents that occur while on official duty and/or on Government property. Employees will complete appropriate forms and comply with Agency instructions when submitting forms and/or medical information.
- 3.3.2 Supervisors' Responsibilities. Supervisors will forward all safety management reports by the prescribed due date to the appropriate Collateral Duty Safety and Health Officer (CDSHO). Supervisors will set an example by providing adequate training, equipment, facilities, and materials to employees; establishing systems for inspections; maintaining equipment and facilities; and implementing current policies and/or plans.

3.3.3 Managers' Responsibilities. Managers will use the accident investigation and reporting system as a positive opportunity to review their roles in the employee environment. Managers will use the accident data from Forms CA-1, CA-2, or the SF-91 to help prevent a recurrence of an injury/illness/accident. Managers' assessment of an accident should not place blame or make accusations, but should serve as a working tool to enhance the job of the employee. Reviewing officials of new managers coming into a unit with a poor safety and health record need to realize that there may be a lag in the safety and health performance of the unit while the manager corrects accident-related conditions. Managers' responsibilities are outlined in Section 3.7, Investigation of Injuries, Illnesses, and Accidents.

3.4 FORMS USED TO REPORT ACCIDENTS, INJURIES, ILLNESSES, AND PROPERTY DAMAGE

The following forms are to be used to report accidents, injuries, illnesses, and property damage. The OWCP servicing specialist is to send the original to the Department of Labor, a copy to FSO for the official personnel file, and a copy of the CA-1, 2, and 6 to the APHIS OWCP Manager. See Chapter 8 for further details.

Accidents, Injuries, Illnesses, and Property Damage Forms			
Title	Form	Purpose	Where to Send
Notice of Traumatic Injury and Claim for Continuation of Pay/Compensation.	CA-1	To report medical treatment for traumatic injury.	Original - DOL, copy of original - FSO and APHIS OWCP Manager
Notice of Occupational Disease and Claim for Compensation	CA-2	To report medical treatment for illnesses.	“
Notice of Employee's Recurrence of Disability and Claim for Pay/Compensation	CA-2a	To report employee's recurrence of disability and claim for pay/compensation.	Original - DOL, copy - FSO
Report of Termination of Disability and/or Payment	CA-3	To report termination of disability and/or payment (after employee returns to work).	“
Claim for Compensation by Widow, Widower, and/or children	CA-5	Claim for compensation by widow/widower/ children	“
Claim for Compensation by Parents, Brothers, Sisters, Grandparents, or Grandchildren	CA-5b	Claim for compensation by parents/brothers/sisters/ grandparents/children	“
Report of Fatality	CA-6	To report fatalities.	Original - DOL, copy - FSO and OWCP Manager
Claim for Compensation on Account of Traumatic Injury of Occupational Disease	CA-7	To claim compensation on account of traumatic injury if disability extends beyond 45 calendar days. Note: Form CA-20 Attending Physician's Report is attached.	Original - DOL, copy - FSO
Attending Physicians Report	CA-20	Attending physicians report (CA-20 is attached to the CA-7)	“

Accidents, Injuries, Illnesses, and Property Damage Forms			
Claim for Continuing Compensation on Account of Disability	CA-8	To claim for continuing compensation on account of disability	“
Authorization for Examination and/or Treatment	CA-16	To report employee taken to medical facilities. To report medical treatment cases.	“
Duty Status Report	CA-17	For attending physician to give duty status of employee.	“
Health Insurance Claim Form	HCFA-1500/OWCP 1500	To report Health Insurance Claims. Claims filed under Federal Employees Compensation Act (5 USC 8101) for employee connected illnesses or injuries.	“
Operator's Report of Motor Vehicle Accident	SF-91	Vehicle operators report of accident, which results in \$350 or more.	Original - FSO, Copy -SHES
Statement of witness	SF-94	Witness statement	Original - FSO
Claim for Damage, Injury, or Death	SF-95	To file a tort claim against the US Government for injury or private property damage.	See APHIS Directive 304.1
Report of Unserviceable, Lost, or Damaged Property	AD-112	To report unserviceable, lost or damaged property cases.	Original - FSO
Property Damage Incident	AD-872	To record motor vehicle property damage when the vehicle is not in operation.	Original - FSO
Data Bearing Upon Scope of Employment - Motor Vehicle Operator	Optional Form 26	To provide information on the conduct of official business if the accident occurs other than the employee's normal duty hours or on a holiday or if a GSA vehicle is involved.	Original - FSO NOTE: If GSA vehicle is involved, original to GSA; copy to FSO
100F - Log of Federal Occupational Injuries and Illnesses	OSHA 100F	To comply with the Occupational Safety and Health Act and Executive Order for recordkeeping and posting requirements. Occupational Safety and Health Administration (OSHA) forms are to be completed by the appropriate Director's Office.	Each appropriate field office should retain on file for 5 years.
102F - Federal Occupational Injuries and Illnesses Survey	OSHA 102F*		
Occupational Safety and Health Protection for USDA Employees	AD 1010	Informs employee of the safety and health program and their rights.	Posted at each facility.

*Post 102F in a conspicuous place for 30 consecutive days; no later than 45 calendar days after the close of the fiscal year, or distribute copies to all employees of the establishments. CA, SF, AD, and OSHA forms can be obtained through the APHIS or USDA Forms Catalog.

Note: Field offices must obtain the AD and SF forms through the GSA Regional Office.

3.5 CHARGING OF ACCIDENTS

The organizational unit and code entered is the unit charged with the accident.

- A. Every CA-1, CA-2 and SF-91 form must have a U.S. Department of Agriculture employee's name, Social Security number, and the organization code.
- B. An employee on a detail is under the administrative control of the receiving unit. The unit receiving the employee is responsible from the time the employee arrives at the unit until he/she returns to the other official duty station. Should that employee have an accident, the receiving unit will be charged.
- C. If no one was injured in a vehicle accident and no witness was present at the time of the accident, the SF-91 forms are used.

3.6 ACCIDENTS REQUIRING TELEPHONE NOTIFICATION

The program unit closest to the accident is responsible for reporting serious injuries, illnesses, and accidents. The appropriate director and headquarters will have additional responsibilities as indicated further in the Chapter.

- 3.6.1 Types of Accidents to Report. The types of accidents shown below require telephone notification. These are to be reported immediately, within an 8 hour time frame of occurrence. All other accidents involving employee injury or hospitalization, or significant property damage may be reported by telephone by the CDSHO as deemed appropriate.

Immediately After Accident

- o Job-related fatality of an APHIS employee or private citizen (APHIS involved).
- o Hospitalization of three or more APHIS employees and/or private citizens (APHIS involved).
- o Job-related accident involving property damages exceeding \$100,000.
- o All aircraft accidents of APHIS-owned or leased aircraft (or other private aircraft when APHIS is involved) exceeds \$5,000 or 500 hours of labor repair time.
- o Motor vehicle accidents where damage exceeds \$5,000, or an APHIS employee is hospitalized. Regional directors shall set their own policy within their respective regions concerning notification requirements for motor vehicle accidents resulting in damage of less than \$5,000.

3.6.2 Officials to Contact.

- A. Field:

- Accident unit makes reports through channels to the director.
- The director contacts:
 - o SHES. After hour numbers will be given to the director; however, they will not be published.
 - o FSO, Accounting and Property Services.
 - o Regional office of the Occupational Safety and Health Administration (OSHA) and others as appropriate (e.g., Office of the General Council, Federal Aviation Administration, Environmental Protection Agency, and Department of Transportation).

B. Washington, DC, Metropolitan Area. Accident unit will make their report to SHES

3.6.3 Information Required. Use APHIS Form 162, Exhibit 3.1, for the telephone reports mentioned above. It is a reproducible copy for your continued use.

3.7 INVESTIGATIONS OF INJURIES, ILLNESSES, AND ACCIDENTS

3.7.1 Purpose of Investigation. All accidents must be investigated, regardless of their seriousness. The severity of an accident will dictate the extent and complexity of the investigation. Thorough accident investigations will:

- Assist in determining and eliminating causal factors of the accident in order to prevent the recurrence of the same or similar type of accident.
- Assist in determining accident trends.
- Help evaluate program effectiveness.
- Supply valuable factual information (e.g., to defend tort claims).

3.7.2 Accountability for Investigations. The extent and complexity of investigations will be determined by the seriousness of the accident, injury, or illness. Some investigations will be conducted by a single individual, whereas others will require the involvement of a team of several persons. The following offices/persons will be held accountable for the conduct of investigations as indicated:

<u>Type of Occurrence</u>	<u>Accountable Office/Person</u>	<u>With Assistance</u>
Those requiring immediate telephone notification	SHES	Regional Office (RO); others designated by RO
All others	Directors or SHES (for Headquarters employees)	Immediate supervisor; CDSHO, others as requested by RO; SHES

NOTE: Directors will establish policy concerning offices/persons to be held accountable for conducting investigations of motor vehicle accidents.

3.7.3 Investigation Procedures. Depending on the severity of the injury, illness, or accident, investigation procedures will vary from the completion of Form CA-1 to appointing an investigation team, interviewing witnesses, photographing the accident scene, and compiling a comprehensive accident investigation report. SHES is available to provide advice on investigation procedures on a case-by-case basis.

3.7.4 Development of Recommendations and Corrective Action Plans. Monitoring of corrective action plans and the development of suggested recommendations based on both primary and underlying causes of injuries, illnesses, and accidents is of critical importance to any accident investigation. Recommendations must be clearly stipulated, and a corrective action plan developed based upon the recommendations. The plan may consist of a single action item or involve numerous items. For occurrences such as those outlined in Paragraph 3.6.1, recommendations and corrective action plans may be quite extensive. The individual/office accountable for investigations in Paragraph 3.7.2 is also responsible for ensuring that appropriate recommendations and corrective action plans are developed and implemented.

3.8 OTHER INVESTIGATIONS

Monitoring and follow-up of the corrective action plan is crucial to the entire accident investigation process. Depending upon the severity of the injury, illness, or accident, actual implementation of the corrective action plan will be the responsibility of the appropriate line manager. For the types of accidents listed in Paragraph 3.6.1, CDSHO's will monitor and report on the progress of the plan, on a quarterly basis, to the appropriate director. Copies of progress reports will be forwarded to SHES. SHES may periodically audit specific cases to determine the adequacy of follow-up and implementation of corrective action.

3.8.1 Office of the General Counsel (OGC) and Office of the Inspector General (OIG) Investigations. OGC and OIG may become involved in accident investigations. The purpose of their investigations is to gather legal information to support the Government in a tort claim. The intent of APHIS investigations, however, is to prevent accidents from occurring or recurring.

- 3.8.2 Accidents Involving Foreign Visitors. Accidents resulting in injuries to foreign visitors are investigated. The supervisor must report such accidents to the Director, Human Resources Division, who will inform the Foreign Agricultural Service duty officer of the accident.
- 3.8.3 Third Party Accidents. The supervisor will notify the APHIS OWCP Manager and FSO of all injuries involving third parties when the possibility exists of a tort claim either by or against the Government.
- 3.8.4 Pesticide-Related Accidents. In the event of a pesticide-related accident, Veterinary Services (VS) supervisors should consult VS Memorandum 556.6, Investigation of Pesticide Accidents and Residues, and Plant Protection and Quarantine (PPQ) supervisors should consult the PPQ Guidelines for Managing and Monitoring Pesticide Spills, and Chapter 7 of this Manual regarding the APHIS Cholinesterase Testing Program.

3-9 RECORDKEEPING REQUIREMENTS

- 3.9.1 Requirements. The originating office must retain copies of all Safety and Health Information Management forms and other pertinent data relating to an accident investigation for 5 years beyond the calendar year of the occurrence. In incidents where only first aid care is required and there are no medical costs, or lost time, the CA-1 or -2 form will be filed in the Official Personnel Folder.
- 3.9.2 Access and Release of Reports.
 - A. All organizational levels will permit the Department and other agency safety and health personnel to have access to accident, injury, and illness records.
 - B. Accident reports are subject to both the Privacy and Freedom of Information Acts. See APHIS Directive 156.1, Freedom of Information Act/Privacy Act Guidelines, for information regarding release of reports.